

SYSTEM 系統名稱:	SUBJECT 主題:	DOCUMENT NO.文件編號:			
品質系統 Quality Assurance System	FIH 供應商負責任礦產採購管理規範 FIH Supplier Responsible Mineral Sourcing Management Process	FIH-SQ-3A0-055			
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* * * * 變更履歷 * * * *

Change History

版次 Rev	ECN 號 ECN No.	修改項次 Change Items	備註 Remark
A	HC-11-9004	初版發行 Initial Release	
B	HC-14-00337	1.按照流程調整章節內容 Chapters adjustment 2.增加代理商管理要求 Add agents management requirements 3.修改供应商风险管理方法 Modify Supplier Risk Management Approach	
C	H-16-01384	1.重新明確“衝突礦產”的定義及增加新的名詞解釋 Redefine the conflict mineral , add new definition 2.完善供應商衝突礦產管理要求 Complete conflict minerals requirement for supplier 3.作業細則增加“風險評估”步驟 Add “risk management” process 4.定義 CMRT 收集要求和審核標準 Define the requirements for CMRT collecting and reviewing 5.優化 CMRT 分級分類標準 Optimize CMRT classifying standard 6.增加建立申訴機制項目 Add the requirement for complaint mechanism 7.增加數據保存的要求 Add saving data retention	
D	HC-21-00177	1. 變更文件名稱 Revise the document name 2. 更新文件中涉及一些組織的名稱 Update the name of organization involved 3. 參考文件增加歐盟衝突礦產法規 Add EU conflict mineral regulation to reference documents 4. 增加受管控的礦產種類及礦產來源地 Expand the controlled Mineral categories and origins 5. 更新富智康負責任礦產採購聲明 Revise FIH Statement concerning “Responsible Minerals Sourcing” 6. 更新供應商負責任礦物採購管理要求 Revise management requirements for suppliers 7. 在作業細則中增加 EMRT 等內容 Add the content of EMRT etc. to operation process 8. 增加負責任礦產採購管理系統平台描述 Add the description of responsible minerals sourcing management system platform	

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1. 目的 PURPOSE

富智康不直接從冶煉廠或精煉廠購買原材料，而是購買可能包含這些礦產的零部件，為了善盡企業社會責任及滿足客戶對負責任礦產採購管理要求，特制定本文件定義富智康供應商負責責任礦產採購管理要求和流程，以緩解剛果民主共和國及其周邊國家的衝突區域及其它高風險地區出產的礦產引發的人權災難和降低供應鏈的管理風險，避免對富智康及客戶造成負面影響。

FIH does not procure raw minerals directly from smelters or refiner, but rather buys parts and components which may include these minerals. In order to fulfill social responsibility and meet customer's requirement on responsible mineral sourcing, FIH establishes this procedure to define the supplier responsible mineral sourcing management requirements and process. FIH aims to relieve human rights catastrophe risk in the conflict areas within Democratic Republic of the Congo or an adjoining country as well as other high-risk areas, and mitigate the supply chain risk, to avoid the influence to FIH and customers.

2. 範圍 SCOPE

本文件適用於所有向富智康提供產品及物料的供應商。

The procedure applies to the suppliers who deliver products or materials to FIH

3. 名詞解釋 DEFINITIONS

- 衝突礦產：按照 2010 年美國《多德-弗蘭克華爾街改革和消費者保護法》，第 1502(e)(4): "衝突礦產"定義：

通過開採、交易源自于剛果民主共和國 (DRC)或其周邊國家且直接或間接地為武裝組織提供資金援助的鉭、錫、鎢、金及其衍生物 (SEC 後續可能會增加礦產種類)。

As defined in 2010 United States legislation, Dodd-Frank Wall Street Reform and Consumer Protection Act, Section 1502(e)(4) CONFLICT MINERAL .—The term “conflict mineral means (1) columbite-tantalite (coltan), cassiterite, gold, wolframite, or their derivatives; or (2) any other mineral or its derivatives determined by the Secretary of State to be financing conflict in the Democratic Republic of the Congo or an adjoining country

- 剛果民主共和國及其周邊國家：剛果民主共和國(剛果(金)或 DRC)及國際公認的與其接壤的國家（蘇丹、烏干達、盧旺達、布隆迪、坦桑尼亞、贊比亞、安哥拉、剛果共和國、中非）

Democratic Republic of the Congo or an adjoining country” means a country that shares an internationally recognized border with the Democratic Republic of the Congo.(Sudan, Uganda, Rwanda, Burundi, Tanzania, Zambia, Angola, Congo, Central African)

- 責任礦產倡議組織：由責任商業聯盟(RBA)和全球電子可持續發展倡議組織(GeSI)的成員在 2008 年成立，現已發展成為供各行各業解決其供應鏈中負責任礦產採購問題的公司使用的資源之一。

RMI: Responsible Minerals Initiative

- 負責任的礦產保證程序

RMAP: Responsible Minerals Assurance Process

- 高風險地區：是指存在以下活動或情況的區域：衝突、最惡劣形式的童工僱傭現象、強迫勞

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<p>動和販賣人口、嚴重侵犯人權的行為(如廣泛的性暴力) 或根據合理客觀的判斷存在其他高風險活動(包括嚴重的健康和安全風險以及不良的環境影響)</p> <p>High Risks areas: which include areas associated with conflict, the worst forms of child labor, forced labor and human trafficking, gross human rights violations such as widespread sexual violence, or other reasonably objective high risk activities, including severe health and safety risks and negative environmental impacts.</p> <ul style="list-style-type: none"> ● 相關礦產:包括但不限於鉭、錫、鵝、金、鈷、雲母等礦物 Relevant minerals :Including but not limited to tantalum, tin, tungsten, gold, cobalt, mica and other minerals ● 3TG 及其他礦產: 鉭、錫、鎢、金、鈷、雲母等 3TG and other minerals : Tantalum(Ta)、Tin(Sn)、 Tungsten(Wu)、 Gold(Au) 、cobalt、mica 、etc ● 治煉廠或精煉廠 SOR: Smelter or refiner ● 回收料：是指從最終用戶使用過的產品中回收的金屬或在產品製造過程中產生的廢料，並且這些材料都能用與循環再生 3TG 及其他礦產。 Recycled or Scrap Sources: Recycled or scrap sources are recycled metals that are reclaimed end-uses or post-consumer products, or scrap processed metals created during product manufacturing, they are appropriate to recycle in the production of 3TG and other minerals. ● RCOI: 礦產衝突中涉及的合理原產國調查 RCOI: Reasonable country of origin inquiry ● OECD: 經濟合作與發展組織，簡稱“經合組織” OECD : Organization of economy co-operation and development ● SEC : 證券交易委員會，文件中指美國證券交易委員會。 SEC : Securities and Exchange Committee , USA ● 責任商業聯盟，即前電子行業公民聯盟 (EICC)，富智康及眾多客戶為該聯盟會員 RBA: Responsible Business Alliance ● 全球電子可持續發展倡議組織，富智康眾多通訊行業客戶為該組織會員。 GeSI: Global e-Sustainability Initiative ● 全球策略採購總處 GSSM: Global Strategic Sourcing Division ● GSQM : 採購總處供應商品質管理 GSSM-SQM: Supplier Quality Management and Green Procurement Management ● CME:零組件工程處 CME: Component & Module Engineering ● 供應商管理部門：由各事業處管理組織架構定義對供應商進行負責任礦產採購管理的職責部門 Supplier Management Department: Department defined by BU which has the responsibility to conduct responsible mineral sourcing Management ● ESU:環保及社會責任承諾書 					

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ESU: Environmental Protection and Social Responsibility Undertaking

- CMRT: 衝突礦產報告模板，用於收集錫、鉭、鎢、金供應鏈中的盡職調查信息
CMRT : Conflict Minerals Reporting Template, To collect the due diligence information in the Tantalum(Ta)、Tin(Sn)、Tungsten(Wu) and Gold(Au) supply chain
- EMRT: 擴展礦物報告模板，用於收集鈷、云母供應鏈中的盡職調查信息
EMRT : Extended Mineral Reporting Template ,To collect the due diligence information in the cobalt and mica supply chain

4. 參考文件 REFERENCE DOCUMENTS

- 經濟合作與發展組織關於來自受衝突影響和高風險區域的礦產的負責責任供應鏈盡職調查指南(文中簡稱: OECD 供應鏈盡職調查指南)
OECD Due Diligence Guidance for responsible supply chains of minerals from conflict-affected and high-risk areas(OECD Due Diligence Guidance for short)
- 《多德-弗蘭克華爾街改革和消費者保護法》第 1502 (13p) :規定所有在美國上市的公司每年向美國證券交易委員會 (SEC) 做出他們產品里所使用錫、鉭、鎢、金的文件披露及報告。
Dodd-Frank Wall Street Reform and Consumer Protection Act, Section 1502(13p):All listed company in the United States shall submit a specialized disclosure report(SD report) to SEC each year to disclosure the origin of 3TG in their products.
- 歐洲議會和理事會的《法規 (EU) 2017/821》
Regulation (EU) 2017/821 of the European Parliament and of the council
- 聯合國紅標地區礦產品供應鏈的盡責調查準則
UN--Due diligence guidelines for the responsible supply chain of minerals from DRC and adjoining area/countries to mitigate the risk of providing direct or indirect support for conflict
- 富士康企業社會與環境責任 (SER)行為準則
Foxconn social & environmental responsibility code of conduct (CoC)
- 富智康供應商社會及環境責任行為守則
FIH Supplier SER Code of Conduct FIH -SQ-3A0-052
- 供應商績效評核管理作業規範
Supplier Scorecard System Process SQ-3A0-001
- 富士康供應商教育訓練作業流程
Foxconn Supplier Training Operation Process SQ-3A0-036
- 富士康供應商 SER 管理規範
Foxconn Supplier SER Management SQ-2A0-006
- 供應商認證流程
Supplier Certification Process SQ-3A0-003

5. 職責 RESPONSIBILITY

5.1 策略採購總處供應商品質管理 GSSM SQM

- ①制定集團供應商負責責任礦產採購管理的政策、流程和標準；

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Develop Foxconn Supplier responsible mineral sourcing policy, process and standards ②構建和維護供應商負責責任礦產採購管理系統； Establish and maintain supplier Responsible Minerals Sourcing management system; ③制定培訓教材，為各 BU 負責任礦產採購管理人員進行集團管理政策、流程、標準、系統操作培訓。 Formulate training materials, provide policy, process, standard and system operation trainings for BG / BU responsible mineral Sourcing management.						
5.2 策略採購總處策略採購 GSSM CS 策略採購應要求新建檔的供應商提供 CMRT (当有客户要求时需提供 EMRT)，簽署 ESU，協助供應商管理單位推動供應商執行富智康負責責任礦產採購管理要求。 FIH GSSM CS shall require new registered supplier to submit CMRT(EMRT should be provided upon customers requirements), sign ESU, and assist supplier management department in driving supplier to abide by the requirement defined in this procedure.						
5.3 事業處供應商管理單位 Supplier Management Department of BU BU 供應商管理部門按照本規範的要求對涉及的供應商進行負責責任礦產採購管理，事業處亦可根據本文件制訂適合於本事業群/處的管理規範，但至少滿足本規範之要求。 BU is responsible for responsible minerals sourcing management of their relevant suppliers; BU could develop an internal process base on this procedure						
5.4 法務部門 Legal Division 制定 ESU，審核供應商簽署的 ESU，對負責責任礦產採購涉及的法律問題提供支援，存檔簽核生效的負責責任礦產採購合約。 Develop and review ESU, support legal issue on Responsible Minerals Sourcing management and archive the approved contract.						
5.5 工程單位 5.5.1 零件工程處 CME：制定零組件中 3TG 及其他礦產的使用清單及供應商物料分級分類標準。 CME: Develop electronic material and component list which contain 3TG and other minerals usage information and supplier classification standard. 5.5.2 各 BU 的工程單位：必要時收集並且提供能夠證明產品中是否含有 3TG 及其他礦產的客觀證據（例如：物料清單、規格書、物料安全數據表、零件工程圖）。 BU: When necessary collect objective evidence that can prove whether products containing 3TG and other minerals.(Such: BOM, specification table,MSDS, Component engineering drawing)						
6. 管理方針 MANAGEMENT POLICY 富智康一貫注重履行社會責任，不接受原產自剛果民主共和國及其周邊國家的衝突區域及其它高風險地區的相關礦產，富智康要求供應商參照 OECD 供應鏈盡職調查指南建立管理體系，對						

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<p>供應鏈中涉及的相關礦產進行溯源，定期使用 CMRT、EMRT 等向富士康如實申報產品中相關礦產的使用狀況及來源信息，並確保使用符合 RMI 負責任礦產保證流程 (RMAP) 的冶煉廠或精煉廠，並將此要求向上級供應商傳達，確保提供給富智康的產品中未使用源於剛果民主共和國及其周邊國家的衝突區域及其它高風險地區的相關礦產。具體見集團 CPO 簽署的《富士康負責任礦產採購聲明》。</p> <p>FIH has always focus on its social responsibility, and does not accept the relevant minerals from conflict areas within Democratic Republic of the Congo or its adjoining countries as well as other high-risk areas. FIH requires all suppliers to establish management system based on OECD Due Diligence Guidance in supply chain. Suppliers shall trace the origin of the relevant minerals in the supply chain, regularly declare the use status and source information of the relevant minerals contained in the products to FIH by using CMRT、EMRT etc, to ensure that the use of the smelters or refineries that comply with the RMI's Responsible Mineral Assurance process (RMAP), convey the same requirements to its upstream supplier, to ensure the products delivered to FIH do not contain relevant minerals originated from conflict areas with Democratic Republic of the Congo or in adjoining countries as well as other high-risk areas. Please refer to FIH Statement concerning "Responsible Minerals Sourcing" signed by corporate CPO.</p> <p>富智康供應商應按照如下要求進行負責任礦產採購管理</p> <p>FIH supplier Responsible Minerals Sourcing management shall meet the requirements:</p> <ul style="list-style-type: none"> ● 建立有效的管理體系 Establish effective management system ● 識別和評估供應鏈中的風險 Identify and assess the risk in supply chain ● 制定和實施風險規避策略 Develop and implement risk avoidance strategy ● 對冶煉商或精煉商盡責實施狀況進行獨立的第三方稽核(適用於直接從冶煉商購買原材料的供應商) Carry out independent third-party audit of smelter/refiner's due diligence practices (if procuring material directly from smelter) ● 公開披露供應鏈的盡責調查和調查結果 Publicly disclose supply chain due diligence and findings 					
<h2>7. 作業細則 OPERATIONS</h2> <h3>7.1 導入階段 Input Process</h3> <h4>7.1.1 新供應商要求 Requirements to New Supplier</h4> <p>採購部門應要求新建檔的供應商提供 3TG 的盡責調查報告(CMRT)及簽署 ESU，代理商需提供匯總的原廠 CMRT 及連帶責任版本的 ESU。CMRT 由 GSSM-SQM 進行審核，</p>					

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<p>ESU 由法務部門進行審核，審核不通過則不允許建檔。請參照《供應商認證流程》(SQ-3A0-003)。</p> <p>Procurement department shall require new suppliers to submit due diligence report of 3TG (CMRT) and sign ESU. Agents shall provide the summarized CMRT from original manufacturers and sign cosignatory version ESU. CMRT shall be checked by GSSM-SQM; and ESU shall be checked by legal department. The new supplier is not allowed to put on AVL if these files are not qualified. Please refer to <i>Supplier Certification Process</i> (SQ-3A0-003) for details.</p> <p>當客戶有對鈷、雲母等礦產的負責責任採購要求時，採購部門應要求新建檔的供應商提供有關礦產盡責調查報告(EMRT 等)。</p> <p>When the customer has the requirement of responsible minerals sourcing of cobalt, mica and other minerals, Procurement department shall require new suppliers to submit due diligence report of relevant minerals (EMRT etc).</p>					
<h3>7.1.2 ESU 簽署</h3> <p>富智康制定的 ESU 中明確定要求供應商對提供給富智康集團的產品中所含的鉭、錫、鎢、金(3TG)及鈷進行溯源，確保使用通過負責責任礦產倡議(RMI)或者同等機構認證的無衝突冶煉商，富智康要求所有供應商必須簽署 ESU，其中代理商需簽署連帶責任版本的 ESU。負責合約簽署的部門應要求供應商提供合約原檔，經供應商簽署的合約需通過法務部門審核，否則需要供應商重新簽署；合約由法務部門或其它經授權的部門存檔。</p> <p>ESU developed by Foxconn has stipulated the requirements that suppliers shall trace the 3TG and Cobalt in the products delivered to FIH, and shall ensure to use only the conflict free smelters or refiners certified by the responsible minerals Initiative (RMI) or equivalent. FIH requires all suppliers to sign ESU, there in to agent shall sign cosignatory version ESU. The responsible department shall require supplier to submit original file checked by legal department, and the declaration shall be archived by legal department and/or authorized department by BU.</p>					
<h3>7.1.3 供應商分級分類 Supplier Classification</h3> <p>對供應商物料進行分級分類的目的是集中資源對含有 3TG 及其他礦產的供應商進行負責責任礦產採購管理，將供應商分為如下等級：</p> <p>The purpose of classifying supplier products is to concentrate resources on the management of suppliers whose products contain 3TG and other minerals, suppliers are classified as follows:</p> <ul style="list-style-type: none"> 能夠通過原物料及零組件涉及衝突礦產風險分級分類標準等客觀證據證明供應商交貨到富智康的產品中不含 3TG 及其他礦產---非客戶特殊要求外不需要做負責責任礦產採購管理； <p>Suppliers whose products delivered to FIH do not contain 3TG and other minerals,</p>					

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<p>which can be proved by objective proof --- do not need to take responsible minerals sourcing management measures except customer's requirement is different.</p> <ul style="list-style-type: none"> ● 交貨到富智康產品中含有 3TG 及其他礦產---需對供應商進行負責責任礦產採購管理。 <p>Suppliers whose products delivered to FIH do not contain 3TG and other minerals---need to take responsible minerals sourcing management measures</p>						
<h4>7.1.4 供應商教育訓練 Supplier Training</h4> <p>供應商負責責任礦產採購管理部門負責對供應商進行負責責任礦產採購管理的教育訓練，將富智康負責責任礦產採購管理政策及要求傳達給供應商，並要求供應商向上游供應鏈傳達。</p> <p>Supplier Responsible Minerals Sourcing management dept. shall provide the training for suppliers and ensure FIH supplier Responsible Minerals Sourcing management policy and requirements have been communicated to suppliers; suppliers shall make the same requirement to its upstream supply chain.</p> <p>對供應商的教育訓練可通過以下方式進行：</p> <p>The training can be performed through following approach (es):</p> <ul style="list-style-type: none"> ● 發送《富智康供應商負責責任礦產採購之要求》(可在每年發起負責責任礦產採購調查時同時進行) <p>Send <FIH Supplier Responsible Minerals Sourcing Requirement> to suppliers, or send the requirement with the due diligence investigation which is conducted per year.</p> <ul style="list-style-type: none"> ● 要求供應商登錄 Webinar 完成在線學習及考試(http://gp.webinar.foxconn.com/) <p>Login Webinar to finish e-Learning and pass examine</p> <ul style="list-style-type: none"> ● 通過現場或網路向供應商提供培訓 <p>Perform training by seminar and/or net-connect</p> <ul style="list-style-type: none"> ● 其它適用的方式 <p>Others</p> <p>若使用在線學習方式進行培訓，供應商管理部門應督促供應商通過在線考核，考核不通過的供應商應在重新學習後進行補考直至考試通過。所有向供應商提供的培訓應保存相關記錄備查。請參見文件《富士康供應商教育訓練作業流程》(SQ-3A0-036)。</p> <p>Supplier management dept. shall drive supplier to finish e-learning and pass examination if the approach 2nd is taking. The training records shall be archived by training provider.</p> <p>Please refer to Document SQ-3A0-036 (Foxconn Supplier Training Operation Process).</p>						
<h4>7.2 供應商負責責任礦產採購盡責調查管理 Supplier Responsible Minerals Sourcing Due Diligence Management</h4> <h5>7.2.1 富智康采用 RMI 制定的 CMRT、EMRT 等尽責調查報告模板对供应商进行调查管理。</h5>						

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FIH adopts the due diligence reporting templates (such as CMRT, EMRT etc.) developed by RMI to conduct responsible mineral sourcing survey.						
<h3>7.2.2 CMRT 收集 CMRT Collecting</h3> <p>富智康要求產品中含有 3TG 的供應商在每年第一季度提供上一年度的 CMRT (CMRT 使用 RMI 制定的最新版本，對於調查週期和頻率若客戶有特殊要求除外)，所填寫的信息必須真實有效，CMRT 的產品內容需包括日曆年內向富士康提供的所有含有 3TG 的產品 (产品有包括新產品、維修配件及已停產的產品等)。</p> <p>FIH requires suppliers whose product contain 3TG to submit CMRT for last calendar year on the first quarter of each year (CMRT shall be the latest version developed by RMI, If customer has special requirement on survey frequency and period, then follow customer's requirement). The information filled by supplier must be real and effective, the content of CMRT must include all products that contain 3TG (including repairable parts and end-of-life products) and was delivered to Foxconn in the last calendar year.</p>						
<h3>7.2.3 CMRT 審核 CMRT Reviewing</h3> <p>供應管理部門按以下標準審核供應商提供的 CMRT :</p> <p>Supplier management department shall review CMRT provided by suppliers according to the standards as follows:</p> <ul style="list-style-type: none"> ①CMRT中Checker sheet頁面不得出現紅色； Item with red background in “Checker” sheet is unacceptable; ②要用英語填寫整份CMRT報告； CMRT shall be filled in English; ③供應商基本資訊要填寫完整，公司名稱不得使用縮寫或簡稱； The basic information shall be fully filled; No abbreviation of supplier name. ④CMRT中揭露的數據須真實有效，所填問題的答案要符合邏輯； The information filled in CMRT shall be real and effective; the answer to the questions shall conform to logic; ⑤未使用3TG的供應商需提供客觀證據（例如零件工程圖、物質安全資料表等）； Supplier not using 3TG shall provide objective evidence (such as component engineering drawings, MSDS, etc.) ⑥若提供的產品中含有3TG金屬，則每種金屬冶煉廠或精煉廠資訊必須填寫。 The SORs information is mandated if the products delivered to Foxconn contain 3TG. ⑦CMRT的Declaration第三個問題或第四個問題若回答YES，需在註釋欄中注明具體 哪家冶煉廠或精煉廠有使用剛果金及其周邊國家或其他受衝突影響和高風險地區 的原礦（可登陸RMI的官方網站通過ROCI查詢所需數據）。 If the third or fourth question in the “Declaration” tab of CMRT is answered with “YES”，then suppliers shall specify which SORs listed in the “Smelter List” have source the 3TG from Democratic Republic of the Congo or an adjoining country or 						

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other conflict-affected and high-risk areas.

7.2.4 CMRT 分級 CMRT Classifying

供應商提供的 CMRT 反映其產品所含 3TG 在供應鏈中的追溯進展，由此可把供應商提供的 CMRT 分為三個等級，不合格：R；條件性符合：C1/C2/C3；完全符合：A，各級別定義及管理方式見表一：

CMRTs provided by supplier reflects the progress of 3TG conflict-free sourcing in the supply chain, the CMRTs are classified into 3 level. Reject: R; Conditional Compliance: C1/C2/C3; Fully Compliance: A, Please refer to the following table.

級別名稱 (Level Name)	級別 (Level)	定義 (Definition)
不合格 (Rejected)	R	未使用 RMI 的 CMRT 調查表(Not adopt RMI CMRT)
		Checker sheet 中出現紅色或者存在邏輯性錯誤(The background of Check sheet is red or exist logic errors)
		產品含有 3TG 但未填寫任何冶煉廠/精煉廠信息(Product contain 3TG but do not provide any information about smelters or refineries)
條件性符合 (Conditional Compliance)	C1	上游供應商回覆率 100%以下(Upstream suppliers response rate is lower than 100%)
	C2	上游供應商回覆率 100%但未識別或未申報所有冶煉廠/精煉廠信息(Upstream suppliers response rate is 100% but have not identified or declared all smelters or refineries)
	C3	上游供應商回覆率 100%且已識別和申報所有冶煉廠/精煉廠信息(Upstream suppliers response rate is 100% and all smelters or refineries have been identified and declared)
完全符合 (Fully compliance)	A	符合下面其中一條即可(Meet one of the following items is OK) :
		1. 產品未使用 3TG (Products do not contain 3TG) 2. 上游供應商回覆率 100%且已識別和申報所有冶煉廠/精煉廠信息，及所有冶煉廠/精煉廠都符合 RMI 負責任礦產保證流程 (RMAP) (Upstream suppliers response rate is 100% and all smelters or refineries have been identified and declared, and all smelters or refineries comply with the RMI 's Responsible Mineral Assurance process (RMAP))

表一： CMRT分級分類

7.2.5 EMRT的收集、審核、分級管理參照CMRT執行.

The collecting, reviewing and classifying of EMRT refers to CMRT.

7.3 風險評估 Risk Assessment

參照OECD供應鏈盡責調查指南，我們依據對供應商負責任礦產採購管理狀況對富智康的風險進行評估，主要考量因素有3TG及其他礦產使用狀況、負責任礦產採購盡責調查報告(CMRT、EMRT等)的評級結果、ESU簽署狀況等，將供應商分為以下三個等級：高風險、中風險、低風險。請詳見《供應商負責任礦產採購風險評估表》

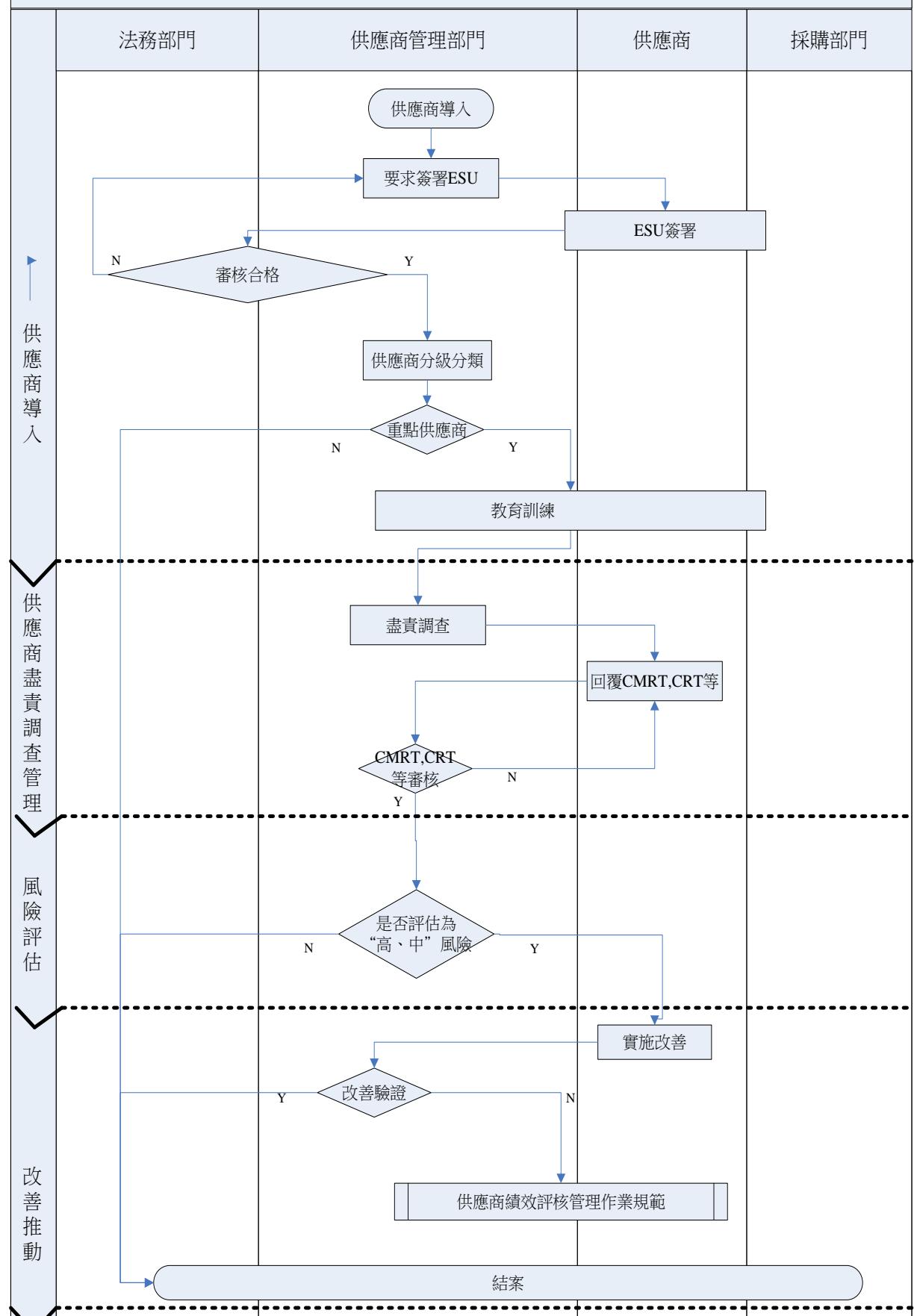
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<p>Referring to <i>OECD Due Diligence Guidance</i>, we evaluated the risk of supplier according to the responsible minerals sourcing management status of supplier. The main consideration includes the use of 3TG and other minerals, responsible Minerals Sourcing due diligence report rating results and ESU signing status. The supplier risk levels are ranked as: High/Medium/Low. Please refer to <i>Supplier Responsible Minerals Sourcing Risk Assessment table</i> for details.</p>						
<ul style="list-style-type: none"> ● 高風險供應商 : High-risk Supplier <ul style="list-style-type: none"> ①使用的3TG及其他礦產源自剛果民主共和國及其周邊國家的衝突區域和其他受衝突影響和高風險地區，冶煉廠或精煉廠未通過RMAP認證； The SOR in supplier's supply chain source the 3TG and other minerals from the Democratic Republic of the Congo or an adjoining country conflict areas and other high-risk areas and the SOR's not RMAP compliant; ②未簽訂ESU； Not signing ESU; ③未回覆CMRT、CRT及MRT； Not submitting CMRT、CRT and MRT; ④風險係數R大於等於6 (R>=6)。 Risk coefficient R>=6. ● 中風險供應商 : Medium-risk Supplier 風險係數R大於等於3小於6 (6>R>=3)； Risk coefficient 6>R>=3. ● 低風險供應商 : Low-risk Supplier <ul style="list-style-type: none"> ①交貨到富士康的產品中不含3TG及其他礦產； Products shipped to Foxconn do not contain 3TG and other minerals; ②風險係數R小於3。 Risk coefficient R<=3. 						
<h4>7.4 推動改善 Driving Improvement</h4> <p>供應商管理部門應推動被評估為高、中風險的供應商改善為低風險，以便能滿足客戶要求，降低富智康的風險。</p> <p>For suppliers which ranked as high/medium risk, supplier management department shall take actions to drive supplier to make improvement, in order to mitigate risk and meet customer's requirement</p>						
<h5>7.4.1 高/中風險的供應商 : High/Medium-risk Supplier:</h5> <p>供應商需在兩個月以內完成以下項目：</p> <p>Suppliers shall complete the following steps in two months.</p> <ul style="list-style-type: none"> ①簽署環保及社會責任承諾書(ESU)； Sign Environmental Protection and Social Responsibility Undertaking (ESU); ②提供真實有效的CMRT、EMRT等，追溯產品中金、錫、鉭、鎢、鈷、雲母等矿物的 						

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來源：						
Provide real and effective CMRT and EMRT etc., trace the origin of the Gold, tantalum, tin, tungsten, cobalt, mica used in the products.						
③制定負責責任礦產採購政策，並對外公開。						
Develop responsible minerals sourcing policy and disclosure to the public.						
<ul style="list-style-type: none"> 識別供應鏈中所有的冶煉廠或精煉廠，若發現冶煉廠或精煉廠尚未符合RMAP或在RMAP中處於活動狀態，供應商要在規定時間內推動這些冶煉廠或精煉廠符合RMI責任礦產保證流程（RMAP）或者在供應鏈中移除這些不符合的冶煉廠或精煉廠 						
<ul style="list-style-type: none"> Identify all the SORs in the supply chain, If the SOR did not meet RMAP or was active in RMAP, It is necessary to push the SOR to comply with the RMI RMAP (Responsibility Mineral Assurance Process) or replace the non-conforming SORs within the specified time. 						
<h4>7.4.2 績效考核管理 Performance Measurement</h4>						
負責責任礦產採購績效考核管理歸屬 SER 管理模塊，實施扣分的管理方式；依照供應商對富士康負責責任礦產採購管理要求的符合狀況，在供應商績效考評系統內可對供應商負責責任礦產採購管理狀況進行評估(評分範圍：-30~0 分)，詳細評分要求請參考文件（SQ-3A0-001）《供應商績效評核管理作業規範》。						
The performance measurement of responsible minerals sourcing is a part of SER management; Foxconn will assess the risk of the supplies responsible minerals sourcing management and deduct the score through the Scorecard System if they act poor performance. (Score Scope : -30~0 point), Please refer to < SQ-3A0-001> get more on performance management.						
<h4>7.5 建立申訴機制 Establish complaints mechanism</h4>						
供應商管理部門應在公司的網站上提供一個電子郵件地址，以便公眾或供應商聯繫你的負責責任礦產採購管理團隊反映有關負責責任礦產採購方面的情況，負責責任礦產採購管理團隊也要及時予以回覆。						
Supplier management department shall provide an email address on the company's website, in order to make convenience for public and supplier contacting with responsible minerals sourcing management team to reflect concerns regarding responsible minerals sourcing, and responsible minerals sourcing management team shall provide reply in time.						
<h4>7.6 負責任礦產採購管理系統平台 Responsible Minerals Sourcing management system platform</h4>						
集團衝突礦產管理系統平台(網址： https://sgm.foxconn.com)具備 CMRT 自動調查、審核與匯總等功能, GSSM-SQM 應根據客戶要求及 BU 需求不斷規劃升級系統功能。為利於集團內負責責任礦產採購管理數據共享與統計，BU 供應商管理單位應使用集團衝突礦產管理系統平台對供應商開展調查。						

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<p>Foxconn conflict minerals management system platform (website: https://sgm.foxconn.com) possess automatic CMRT investigation, checking and summarizing functions. GSSM-SQM should continuously upgrade system functions according to customer and BG/BU requirements. In order to facilitate the sharing and statistics of responsible mineral procurement management data within the group, BU supplier management departments should use this system platform to conduct due diligence survey for suppliers.</p>						
<h3>8. 數據保存 SAVE THE DATA</h3> <p>為了保證數據的可追溯性，權責部門對供應商所簽署的 ESU 及提供的負責責任礦產採購盡責調查報告 (CMRT、EMRT 等) 至少保存五年以上。提倡供應商也使用專業 IT 系統收集和保存負責責任礦產採購盡責調查報告。</p> <p>To ensure the traceability of data, The responsible minerals sourcing due diligence report (CMRT、CRT and MRT etc.) provided and ESU signed by the suppliers should be kept for at least five years by responsibility department. Suppliers are also encouraged to use professional IT systems to collect and maintain The responsible minerals sourcing due diligence report.</p>						
<p>附件 Appendix:</p> <p>附件一：《衝突礦產盡責報告模版 (CMRT)》</p> <p>Appendix I : <Conflict Minerals Reporting Template></p> <p>附件二：《擴展報告模版 (EMRT)》</p> <p>Appendix II : < Extended Mineral Reporting Template></p> <p>附件三：《供應商負責責任礦產採購風險評估表》</p> <p>Appendix III:<Supplier Responsible Minerals Sourcing Risk Assessment table></p>						

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供應商負責任礦產採購管理規範流程圖



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Conflict Mineral Management Process Flow Chart

